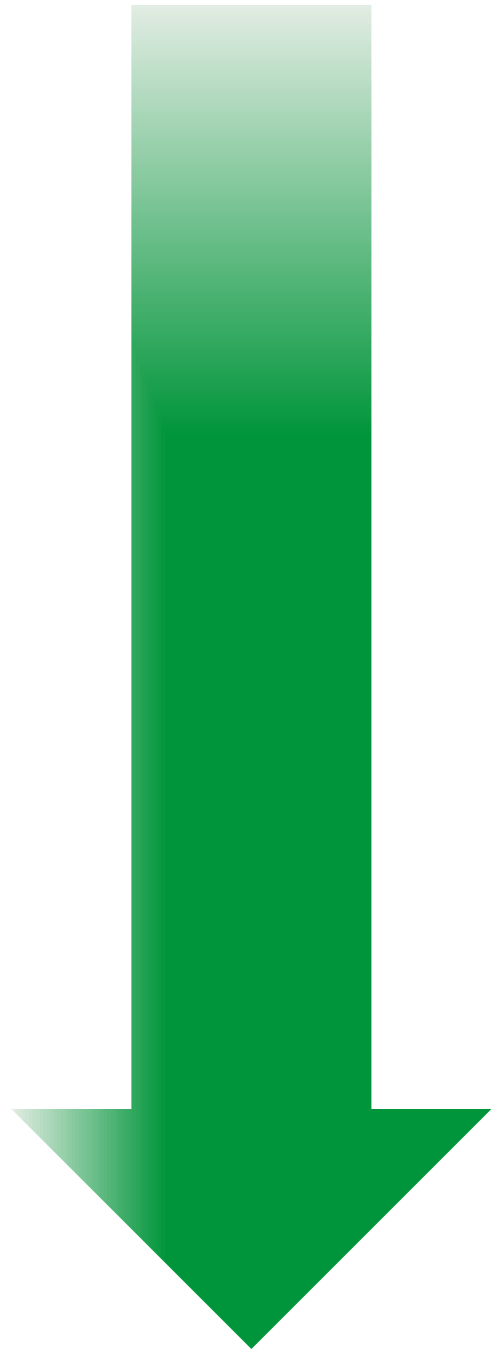


# *Post Award Meeting*

Colorado Family Planning Program  
August 2016 PAM

# Agenda



- Family Planning Program Staff
- PAM Overview
- Contract Basics
- Deliverables and Statement of Work
- Monitoring Methods and Activities
- Reporting Requirements
- Contract Management System
- Fiscal
- iCare
- Technical Assistance

# *Purpose of a Post Award Meeting*

- Review contract requirements and how the contract will be administered
- Review and clarify key aspects of the contract including:
  - Administrative expectations
  - Performance expectations

*Please note:*

- Presentation only covers highlights of contracts
- Contractors are **responsible to read and understand contract**

# *What's Different From 2014 PAM?*

## Staffing Changes

- Greta Klingler moved on
- Kristina Green moved on
- Grace Franklin joined the team
- QI Project
- Contract moved from Vendor to Sub-Recipient
- CFPI project wrapped-up - now embedded in our work

# Key CDPHE Staff



**Grace Franklin**  
Program  
Coordinator

**Jody Camp**  
Family Planning  
Section Manager



**Karen Artell**  
Nurse Consultant



**Krystel Banks-Thomas**  
Fiscal Officer

**Angie Fellers-LeMire**  
Nurse Consultant



**Lynda Saignaphone**  
Program  
Assistant



**Nicholas Roth**  
Data  
Coordinator



# Roles and Responsibilities

## CDPHE

Fiscal due diligence	Technical assistance and support
Contract management	Process and pay invoices
Ensure fiscal, state, and federal requirements are met and passed to sub-contractors	Monitoring client numbers and funding utilization on a quarterly basis
Reporting to state and federal	Family planning calendar

## Sub-Recipients

<i>Quality healthcare for priority</i>	Fiscal, state, and federal requirements
Education and outreach	Reporting
Data collection and input	Submit invoices
Community engagement	Attend required trainings
Contract management	



# *Contract Basics*

Grace Franklin



# *Contract Basics*

- Contracting with the State of Colorado can be a confusing, complex process. As a Contractor, you are upheld to certain standards, including state and federal laws.
- To ensure you are compliant, make sure you...
  - Read your contract!
  - Focus on the Scope of Work that is embedded in contract
  - Reference it regularly
  - Know requirements also apply to sub-contractors
  - Ensure both program and fiscal staff have access to the contract
  - Ask questions -- we're here to help!



# *Contract Components*

## **Master Contract**

- CDPHE contract with County or non-county entity
- Contains General Provisions

## **Task Order Contract (for LHA only)**

- LHA contracts under Master Contracts with counties
- Term
- Billing Frequency
- Contract Price

## **Exhibits**

- Additional Provisions
- Statement/ Scope of Work (detailed deliverables for Family Planning)

## **Amendments**

## **Funding Letters**

# *General Provisions*

- Standard terms for all CDPHE contracts
- Contained in Master Contract with County (for LHA only)
  - Obtain a copy from your county if possible

## **Key Points**

- Confidential Information
- Records Maintenance
- Performance Monitoring
- Audits
- Modifications
- Media or Public Announcements
- Annual Audits

# *Regulations*

Agencies are required to know and abide by:

**2 CFR, Part 225** Cost Principles for State, Local and Indian Tribal Governments

**2 CFR, Part 601 (formerly OMB Circular A-102)** Uniform Administrative Requirements for Grants and Agreements with State and Local Governments (Common Rule)

**OMB Circular A-133** Audits of States, Local Governments and Non-Profit Organizations

# Regulations

## Hatch Act

Prohibits use of federal funds for partisan political purposes of any kind

5 U.S.C. 1501-1508 and Public Law 95-454, Section 4728

## Davis-Bacon Act

Fair wages in accordance with local market conditions for laborers and mechanics employed by contractors and subcontractors 40 U.S.C. 276A - 276A-5

**Nondiscrimination** on basis of race, color, national origin, age or disability

42 U.S.C. 6101 et seq., 42 U.S.C. 2000d and U.S.C. 794

## Americans with Disabilities Act

## Uniform Relocation Assistance and Real Property Acquisition Act

## Federal Acquisition Streamlining Act of 1994

Prohibits use of federal money to lobby the legislative body of a political subdivision of a State  
Section 2101, Public Law 103-355

## Health Insurance Portability and Accountability Act of 1996 (HIPAA)

Must comply if your agency is a covered entity 42 U.S.C. 1320d - 1320d-8

# *Annual Audit Requirements*

- If agency expends >\$500,000 in federal funds in a fiscal year:
  - A-133 annual audit required
- If agency expends >\$500,000 in state funds in a fiscal year:
  - Submit a copy of audit report to State Internal Audit Office within 30 calendar days of receipt, or 9 months of end of fiscal year (whichever is earlier)
  - Take corrective action within 6 months of report to address any noncompliance

# *Special Provisions*

- Addresses required Colorado State Controller approval, fund availability, governmental immunity, compliance with law, prohibition of software piracy, conflict of interest, and exclusive employment of individuals who are lawfully present in the U.S. and authorized to work in the U.S.
- Contractor will **perform duties** as an independent contractor and **not as an employee of the State**
- Contractor shall **comply with all applicable federal and State laws, rules, and regulations**



# *Federal Time and Efforts Requirements*

- If employees work on multiple projects, they must **submit and approve timesheets/ activity reports** detailing time worked on each project
- Salary must be allocated to the projects based on those timesheets/ activity reports
- These records do not need to be sent to CDPHE, but **may be reviewed** upon request

# *Additional Provisions*

- Program-specific Federal and State Regulations (Title X )
- HIPAA Business Associate Determination
  - Indicates whether State has deemed the contractual relationship with your agency to constitute a Business Associate relationship under HIPAA
    - Most instances, your agency will not be considered a Business Associate
- Program-specific details, requirements and deliverables

# *Subcontracting*

Work may be performed using subcontracts with other providers or collaborative partnerships with other community partners

- Relationship and roles should be **formalized in a Memo of Understanding (MOU)** or other binding contractual agreement
- Subcontractor(s) must adhere to all requirements of the contract
- Your agency must **maintain records of subcontracts** for at least three years

# *Funding and Billing Information*

- CFDA number and federal funding source (if applicable), details on State funding mechanism and purpose of funding
- Allowable reimbursement period
- Invoicing

# *Deliverables and SOW That are in the Contract*

Jody Camp



# *Deliverables and Scope of Work*

## **Clients**

Funding is based on the number of clients served from the **prior CALENDAR year** (the most recent 12-month data set)

### **Priority**

Provide comprehensive family planning services to sustain the total number of qualifying family planning clients served in the previous calendar year. Emphasis should be placed on priority clients that are 100% of Federal Poverty Level and below and 19 years of age or younger

## **Community Engagement**

### **Networking**

Provide outreach services and/or other program efforts designed to improve client recruitment, strengthen existing relationships or create a new linkage.

### **Community Education**

Host at least one community presentation on a family planning-related topic.

### **Information and Education Committee (I&E)**

Provide an opportunity for community involvement and feedback by hosting an Information and Education Committee in your community at least one time a year.

### **Advisory Committee**

Host at least one advisory committee meeting annually.



# *Deliverables and Scope of Work*

## **Services**

- **Medical Services** - Supply nursing and medical services, which shall include a comprehensive health and social history and physical examination administered in accordance with all applicable Title X regulations and, all applicable nursing-medical policies or procedures which have been, or may be established by the State, specifically the Health Service and Connections Branch;
- **Contraceptives** - Supply contraceptive information, education, and supplies regarding all family planning methods. With emphasis on long acting reversible methods of contraception such as IUDs including Mirena, ParaGard, Skyla, Liletta, and contraceptive implants.
- **Patient Services** - Provide education and counseling services regarding family planning, family planning methods, child spacing, infertility, sterilization, nutrition, sexually transmitted diseases, HIV/AIDS, adolescent counseling and other related health issues, as outlined in the Nursing and Administrative Manual;
- Ensure each client is counseled appropriately on annual *flu vaccine and body mass index* and report in the Contractor Quarterly Report.
- Follow-up and/or *provide referral services*, as appropriate.

# *Deliverables and Scope of Work*

## **Manuals and Guidelines:**

- *Review and sign the Title X Clinical and Administrative Guidelines and Manuals*
- Remain acceptable and in good faith by the State

## **Business Tools:**

- Perform a Cost Analysis / Cost Setting for family planning items and services every three years or before if there is a significant change in costs and fees. Next required update is September 2017
- Create an annual Sliding Fee Scale with most recent Poverty Guidelines.
- Participate in an annual Independent Chart Audit.
- Participate in an annual Independent iCare Audit.
- Perform an annual Customer Satisfaction Survey and comment on results in the quarterly progress report.
- Ensure that all Subcontractors are fulfilling Title X Requirements by embedding Title X policy and protocols into the subcontractor MOU, contracts and interagency agreements.
- Participate in an Annual Site Visit (clinical, administrative or chart) from Family Planning Program.
- Work toward or currently generate income for your clinic through Medicaid reimbursement, third party insurance payors and/or other fund raising activities.

# *Deliverables and Scope of Work*

## Client Data

- ***FPAR Supplementary Report:*** Submit reporting data for the Family Planning Annual Report (supplementary information such as FTE/HIV)
- ***iCare/FPAR Data Submission:*** On a monthly basis, Contractor shall collect and provide to the State, by the fifteenth calendar day of the following month unless otherwise specified by the State, all pertinent data as defined by the State regarding all services offered, and all family planning clients served, by its program during the preceding month, submitted through the Family Planning data system.

## Fiscal

- ***Expenditure Revenue Reports:*** Contractor shall provide the State with the annual Family Planning Expenditure/Revenue Report.
- Submit a **monthly invoice** no later than 45-days after the work was completed.

## Reporting

- ***Quarterly Progress Report:*** Contractor shall participate in state-level evaluation efforts as requested by the State including, but not limited to, progress reports on the implementation.

# *Deliverables and Scope of Work*

## Training

At a minimum, the family planning coordinator will participate in the following trainings:

1. Required: Post-Award Meeting - August 2016
2. Required: Section 1557 Updates - August 2016
3. Required: TBD in Spring 2017

These required training sessions will be held electronically and recorded. If the coordinator cannot attend the webinar “live”, then the recording should be reviewed within 30-days of event.

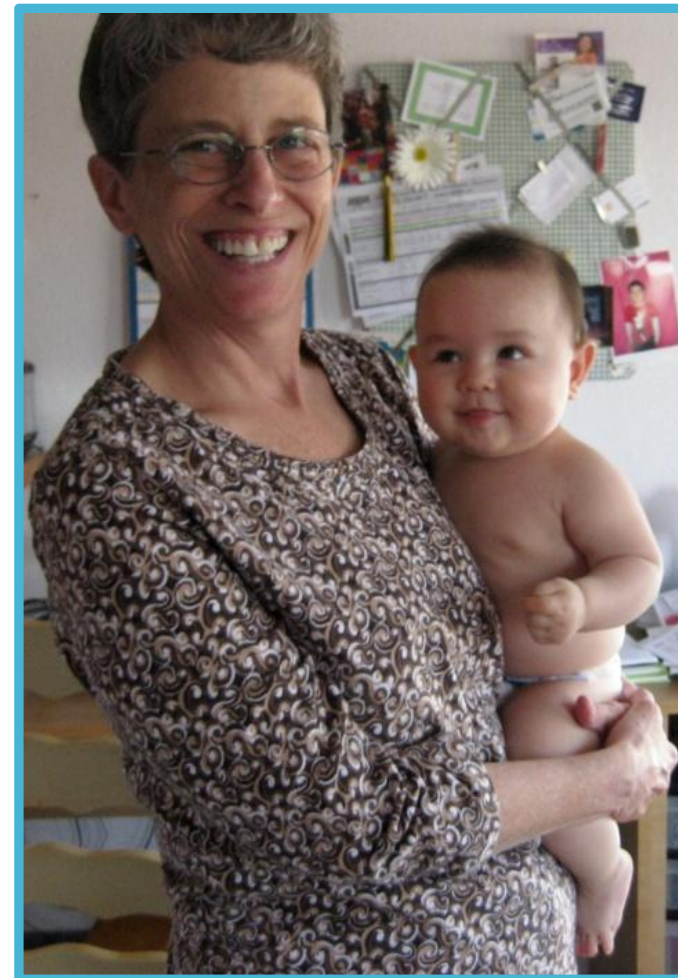
# *Deliverables and Scope of Work*

## **Contract Implementation Toolkit (CIT)**

- A PDF document designed to be resource that outlines the following:
  - If the deliverable is required/optional
  - The logic for providing / completing the deliverable
  - The dates related to the deliverable
  - The supporting materials or links related to the deliverable
- The CIT can be found here:  
[https://www.colorado.gov/pacific/sites/default/files/PSD\\_titleX2\\_Contract-Implementation-Toolkit-2016.pdf](https://www.colorado.gov/pacific/sites/default/files/PSD_titleX2_Contract-Implementation-Toolkit-2016.pdf)
- Navigation of the CIT
  - The table of contents is linked to that segment in the document
  - The “home” button at the bottom of each page takes you to the table of contents

# *Monitoring Methods and Activities*

Karen Artell





# *Program Oversight and Quality Assurance*

- CDPHE Family Planning Program is responsible for the quality, cost, accessibility, reporting, and performance of the grant funded activities provided by the local family planning agencies.
- Monitoring and audit items are based on federal and state government standards and policies, Title X Program Requirements, Providing Quality Family Planning Services Recommendations (QFP), CDPHE Administrative and Clinical Policies and Protocols.

# *Program Oversight and Quality Assurance*

- Statement of Work contains information regarding monitoring, oversight and quality assurance
- CDPHE Family Planning Program has a need for reasonable access and cooperation of local program staff
- Auditing is an opportunity for each agency and CDPHE to work together to achieve Title X goals according to federal Title X Guideline

# *Program Monitoring*

Medical and administrative site visits	Agency progress reports	iCare Reports
Medical chart audits	Family Planning database/medical record comparison	QI Project
Internal medical chart audits	Client satisfaction surveys	Other reports as needed

# *Medical and Administrative Site Visits*

- *Rotated every 3 years*
- Each site will complete one of these activities each year
- The family planning coordinator is contacted in advance and provided information regarding the process and the audit forms
- Any site visit findings require a plan for **correction within 6 weeks** after receiving the post visit letter and **compliance by 12 weeks**
- Post site visit letter may have recommendations which a plan for correction is not required

# *Medical Chart Audits*

- *Performed in the fall/winter each year*
- Audit performed by an independent mid-level provider (Christine Mandl)
- Criteria based on federal Title X Requirements and priorities
- Agencies asked to provide 10 charts for audit
- Charts are printed or copied, de-identified and mailed to CDPHE
- Agencies are asked to provide a plan for correction for items which scored below 90% and for iCare/chart discrepancies

# *Internal Medical Chart Audits (IMA)*

- Agencies are provided a spreadsheet with the items to be audited and the audit is performed by agency staff members internally
- Criteria are based on Title X Requirements, priorities, and/or the CDPHE Title X Program work plan
- A plan for correction should be provided for any deficiencies when the results of the IMA is submitted



# *Program Monitoring*

## **Client Satisfaction Survey**

- Required once a year - either with the template supplied by CDPHE (on the HUB) or agencies may use their internally developed surveys

## **Data Monitoring**

- Family Planning Data System (iCare)
- Family Planning Annual Report (FPAR)
- Quarterly Progress Report/Surveys (LARC & sterilizations)

# *Reporting Requirements and Timelines*

Grace Franklin




# Reporting Requirements and Timelines

## Quarterly Progress Report

- October 31, 2016
- January 31, 2017
- April 28, 2017
- July 31, 2017

*\*Content may vary by report*



**COLORADO**  
Department of Public  
Health & Environment

Colorado Department of Public Health and Environment  
4300 Cherry Creek Drive South  
Denver, Colorado 80246  
Phone: (303) 692-2484  
Fax: (303) 691-7957

**Family Planning Program**  
Progress Report Form  
Quarter Four (April – June 2016)  
Fiscal Year 2015-16 Contract Period

**Instructions:**

1. Please complete all five sections of this form, save the form, and return to CDPHE by 7/29/2015.
2. Once this progress report form is complete, please save a copy and email the completed form to: [cdphe\\_familyplanning@state.co.us](mailto:cdphe_familyplanning@state.co.us) (note underscore in email address).
3. If you have any trouble with saving or emailing this document, you may also print a hard copy and fax the hard copy form to Jody Camp at (303) 691-7957.

**SECTION 1: Information about Person Completing this Form**

Name:		Title:	
Agency:		Date:	

**SECTION 2: iCare**

As of March 31, 2016, are data from iCare Report 12F accurate?  
Sub-recipients are required to check agency data in iCare on a regular basis.

☐ Yes  
☐ No

If you have questions or concerns about iCare Report 12F, please contact Nick Roth at: [nicholas.roth@state.co.us](mailto:nicholas.roth@state.co.us).

**SECTION 3: LARC Data (April through June 2016)**

# of Mirena devices used:	# of Liletta devices used:	# of ParaGard devices used:	# of Skyla devices used:	# of Implant devices used:
# of Vasectomies provided:		# of Surgical Tubals provided:		# of Essures provided:

# Reporting Requirements & Timelines

## Timelines/Calendar

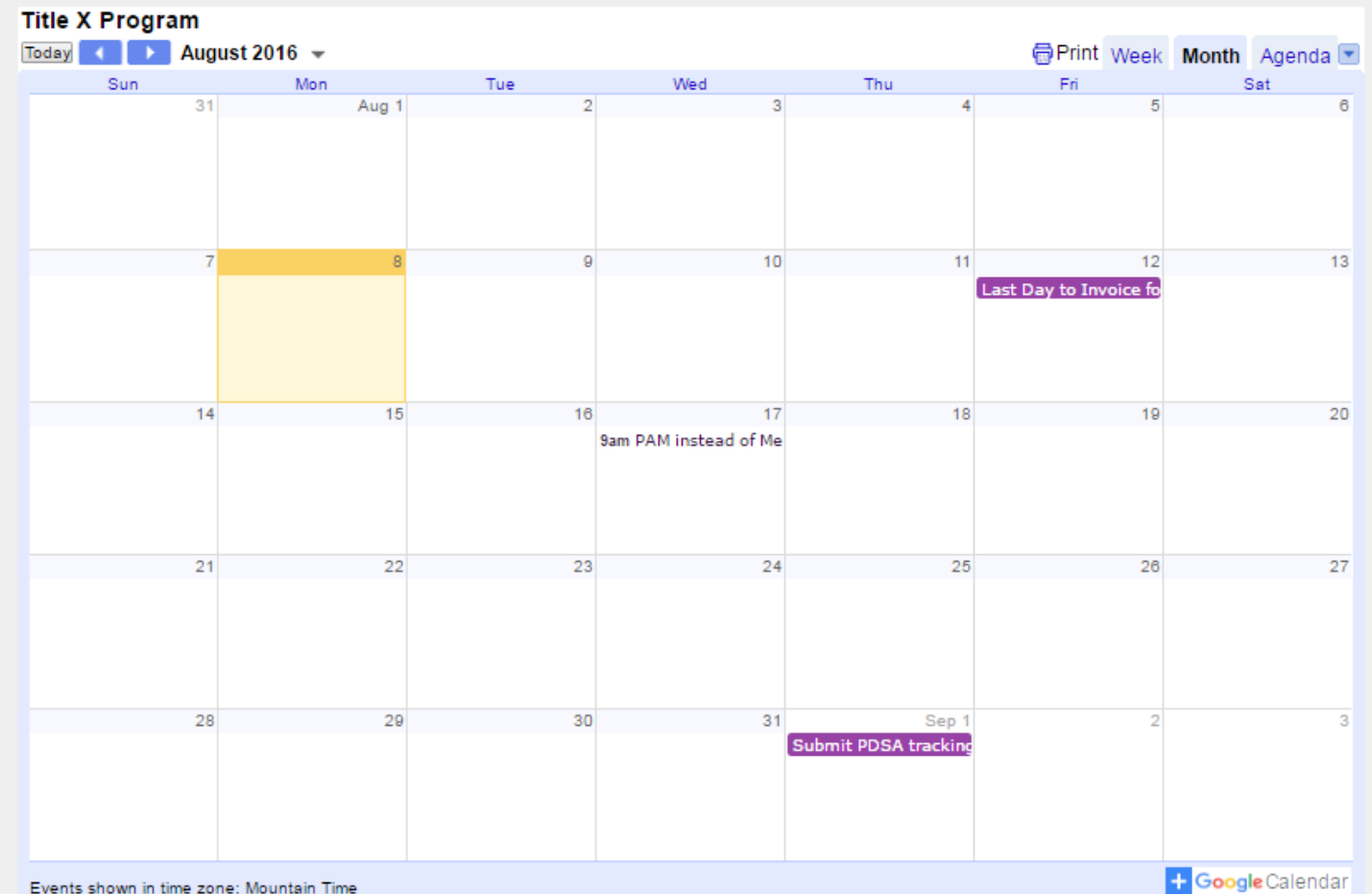
- Calendar with due dates of reporting requirements on family planning website
  - <https://www.colorado.gov/pacific/cdphe/title-x-contractor-calendar>
  - Calendar dates also posted in **weekly newsletter**

### Title X contractor calendar

[Back to Title X family planning](#)

Here you will find important dates for the Title X Family Planning program. The calendar below is updated regularly and you can opt to view it in your own Google calendar for convenience.

**Calendar** - Click on calendar events for detailed information.





# *Contract Management System*

Grace Franklin



# *Contract Management System (CMS)*

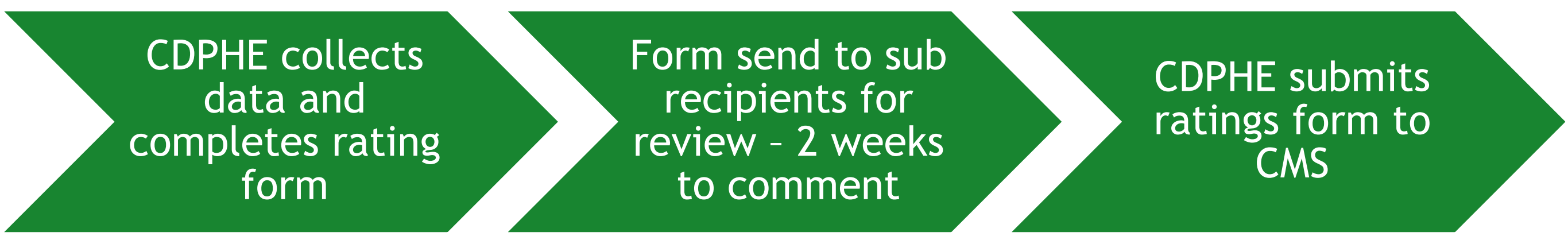
- Required by Legislation passed in 2007, implemented in 2009 (**SB07-228**)
- Ratings given annually:
  - Above Standard
  - STANDARD
  - Below Standard
- Final ratings entered into a public database for all contracts
- Final ratings for contracts that reach \$100,000 or more over the life of the contract (usually 5 years) are visible to the public

# *CMS Rating Categories*

- Standard = **good**
- Categories are set by the legislation and CDPHE
  - Quality
  - Timeliness
  - Price/Budget
  - Business Relations
  - Deliverables



# *CMS Process*



```
graph LR; A[CDPHE collects data and completes rating form] --> B[Form send to sub recipients for review - 2 weeks to comment]; B --> C[CDPHE submits ratings form to CMS];
```

CDPHE collects data and completes rating form

Form send to sub recipients for review - 2 weeks to comment

CDPHE submits ratings form to CMS

- All comments are recorded on rating form
- Agencies have the right to appeal

# *Fiscal*

Krystel Banks-Thomas



# *Expenditure Revenue Report (ERR)*

**How often:** Annually in January

**To whom:** CDPHE Prevention Services  
Department (PSD) fiscal staff

What does fiscal do with the data?

- This information feeds into the Family Planning Annual Report (FPAR)
- Measures items like Medicaid/CHP+/insurance revenue, in-kind donations, cash donations, client fees, local support
- This data is aggregated and sent to the federal government

# *Fiscal*

- Funds awarded based on clients served in the last calendar year
- Agencies may request 1/12<sup>th</sup> of their service delivery award monthly.
  - Make sure to have receipts and documentation at your organization (that equal 1/12<sup>th</sup>) in case of audit.
- For restricted LARC funds only (phasing out): LARC purchases and sterilization costs will be paid on a reimbursable basis.

# *Monthly Invoice*

- Monthly invoice form
- Invoice will be pre-populated per agency
- No backup documentation required for payment request, but keep back-up at organization in case of audit.
- Invoices that include a request for reimbursement for LARC purchases or sterilization costs must include backup documentation.
- Required backup documentation includes:
  - Copies of invoices or receipts for LARC/sterilization costs
  - Copy of agency general ledger that shows evidence of payment

# *Invoice Expectations*

- Send to FP central email: [cdphe\\_familyplanning@state.co.us](mailto:cdphe_familyplanning@state.co.us)
- Family Planning Program staff will review before sending to PSD fiscal staff
- Signed CDPHE invoice must be submitted to request reimbursement.
- Invoices must be submitted to CDPHE **no later than 45 days** after the end of a service period.
  - For example, the invoice for services provided in July 2016 is due no later than the mid of September 2016.
- Questions/requests for additional information or clarification may be sent to contact person listed on invoice.
  - Payment of invoice may be delayed if not addressed.

# *Financial Risk Management System (FRMS)*

## When did this start:

- April 2012

## Why was it created:

- Systematic way to assess contract risk and identify appropriate monitoring for an entity (not for each program)

## How is it performed?

- A face-to-face visit with the Contract Performance Monitoring Unit at CDPHE, then periodic updates

## What are the implications for Title X sub-recipients?

- All Title X vendors that are also Local Health Departments have had a FRMS session already. This “audit” is done on the entity, not the family planning program.

[http://10.1.0.25/ASD/Grants\\_Purch\\_Contracts/Financial%20Risk%20Management%20System/index.html](http://10.1.0.25/ASD/Grants_Purch_Contracts/Financial%20Risk%20Management%20System/index.html)



# *iCare Data System*

Jody Camp





# *Family Planning Data System - iCare*

- iCare Data System:  
<https://www.phi.dphe.state.co.us/>
- Two ways of providing data
  - Manual entry
  - 3<sup>rd</sup> party data extract

**Data Contact - Nicholas Roth**

Email: [nicholas.roth@state.co.us](mailto:nicholas.roth@state.co.us)

Phone: 303.692.6256

# *Technical Assistance and How to Access It*

Karen Artell



# *Communication Methods, Processes, and Protocols*

- Title X Website: <https://www.colorado.gov/cdphe/titlex-familyplanning>
  - Title X Forms and Documents
  - Contractor Calendar
  - Manuals and Contract Implementation Toolkit
- MedPac Meetings - Meets Quarterly
  - Opportunity to make program recommendations and advise on family planning needs
  - Meets Quarterly
    - August 17, 2016
    - November 16, 2016
    - February 15, 2017
    - May 17, 2017

# Communication Methods, Processes, and Protocols

- Central Email

- Submit all invoices and FP reports to central email
- [Cdphe\\_FamilyPlanning@state.co.us](mailto:Cdphe_FamilyPlanning@state.co.us)

*\*Note underscore in the email address*

- FP Weekly Update

- **Upcoming Dates** - Major deadlines within the next month
- **Important** - Topics related to Title X contracts, program, due dates, etc.
- **Partner Updates** - Information from partners and federal agencies
  - Ex: Guttmacher, HCPF, NFPRHA, Office of Civil Rights, etc.
- **Trainings and Events** - Local and national events relevant to family planning

# *Questions?*

